



# Northeastern Illinois PUBLIC TRANSIT Task Force

December 6, 2013

Forrest Claypool  
President  
Chicago Transit Authority  
567 West Lake Street  
Chicago, IL 60661

Dear Mr. Claypool:

Thank you for your letters dated September 25 and October 1, 2013, in response to our letter dated September 19, 2013 and the questions enclosed therein. We appreciate the time and effort that you have already invested and continue to invest in working with us to improve and strengthen the northeastern Illinois public transit system. As we review the information that you have provided, we would appreciate clarification on some of your responses to our early questions as well as information on matters not previously raised.

### Clarification on Prior Questions

3. In response to question 3, you stated that the CTA Ethics Officer, who is appointed by the Board, provides opinions to employees and the Ethics Committee. For your agency's Ethics Officer, please identify (a) the process for selection and hiring the individual to hold this office; (b) the performance and factors considered for any employment action taken in connection with this position, including, but not limited to a change in salary, promotion within the office, or termination from the position; (c) identify (i) the individual currently serving in this position and (ii) the individuals to have held this position for the last seven years; (d) the background and history for this office, including the creation of the position and its enabling resolution; and (e) any reports or findings issued by this office in the last seven years. In addition, please describe the process that is followed when a conflict of interest is identified and the actions that are or may be taken to resolve such conflict.

5. In connection with your response to question 5, please provide your recommendation on whether term limits should be imposed on Directors and if so, what said term limit should be.

#### CO CHAIRS

Ann L. Schneider  
George Ranney Jr.

#### APPOINTEES

Carole L. Brown  
Patrick Fitzgerald  
Robert W. Guy  
Dr. Adrienne M. Holloway  
Dr. Sylvia Jenkins  
Nick Palmer  
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#### ADDRESS

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Springfield, Illinois 62764

#### PHONE

(217) 782-6149

Task Force established via  
Executive Order 13-06



9., 10., 11. In connection with your response to questions 9, 10 and 11, please describe with specificity the internal controls and monitoring related to employment actions or discrimination based upon political reasons or factors for non-exempt positions, and describe when this policy was first put in place. In so doing, we ask that you direct us to the precise sub-section and page addressing this matter. In addition, please direct us to the pamphlet or material that your agency uses to disseminate policy positions that inform directors and employees that there shall be no discrimination or preferential treatment based upon political reasons or factors, and state when it was first used. Further, please describe how CTA would address an allegation of a breach of AP 151 and the CTA's Code of Ethics, and the consequences of a finding of such a breach.

15. In response to question 15, you listed examples of external audits. For the last seven years, please provide complete copies of: (a) all Procurement System Reviews and follow-up material; (b) all DBE Compliance Reviews and follow-up material; (c) the 2013 Triennial Review; and (d) the 2013 Financial Management Oversight review.

19. In response to question 19, you stated that CTA had no rules, regulations, orders, or requirements of any kind concerning contacts between officers, employees, or directors, and elected officials concerning official business. Please describe CTA's policies or procedures, whether formal or informal, regarding contacts between officers, employees, or directors, and elected officials, or their representatives, concerning official business, including, but not limited, to hiring and/or promotion and/or granting of salary increases (or requests for hiring, promotion or salary increases), applicable currently and for the last seven years.

24. In response to question 24, you stated that CTA does not maintain a list, record, report, or similar documentation of any contact or communication with any elected or appointed executive, legislative, or judicial officeholder (excluding communications in the course of litigation) regarding hiring, promotion, recall, transfer, or termination of any officer, employee, staff-member, or manager of the Agency. Please state whether CTA retains original correspondence of this nature – or maintains copies of such correspondence – with the previously listed entities or their representatives. If so, please provide copies of these documents and materials communicated during the last five years. The materials can be

provided in a manner to redact information considered “private” under Illinois FOIA and other related laws.

#### Additional Information

1. Please provide any documents reflecting any contacts by persons outside CTA regarding the hiring and/or promotion and/or granting of salary increases (or requests for hiring, promotion or salary increases) for Members of the CTA senior executive team during the last five years. The materials can be provided in a manner to redact information considered “private” under Illinois FOIA and other related laws. The materials should include, but are not limited to, letters of reference and notes or memoranda or emails involving references by outside persons, including but not limited to, elected or appointed officials.
2. Please provide a comprehensive list of all internal or external investigations, audits, analyses, or related reviews of CTA or its employees during the last seven years, including those conducted by the CTA Inspector General, the OEIG, RTA, Illinois Department of Transportation, and the U.S. Department of Transportation, and whether we may arrange to review these documents. This list and the subsequent materials can be provided in a manner to redact information considered “private” under Illinois FOIA and other related laws. Further, please describe the policy of CTA regarding whether reports of the CTA Inspector General are available for review by the general public.
3. Please provide copies of any records of discussions by the CTA Board of Directors during the last seven years regarding patronage or any issues related thereto, including, but not limited to, those in Board minutes and presentations to the Board.
4. Please identify the reasons why people and/or entities lobby your Agency. In addition, please provide any and all policies, procedures, and controls in place regarding the people and/or entities who lobby your Agency.
5. Identify the agency’s revolving door policies, procedures, and controls governing the relationship and interactions between the agency and current or departing board members or agency employees, specifically, but not limited to, procurement, lobbying, and other agency issues. Provide copies of any such policies, rules, regulations, or requirements and identify the date of implementation.

6. Identify the CTA's revolving door policy regarding (a) current or departing board members of CTA and their service or business relationships with Metra, Pace, and RTA and (b) CTA's relationship with current or departing board members of Metra, Pace, and RTA. Provide copies of any such policies, rules, regulations, or requirements and identify the date of implementation.

7. Identify the policies, procedures, and controls in place regarding your agency's (a) procurement process, including bidding and price tracking; and (b) communications between board members or employees and past, current, or potential vendors regarding agency business and procurement. Provide copies of any such policies, rules, regulations, or requirements and identify the date of implementation.

8. In connection with procurement, identify the policies, procedures, and controls in place regarding your agency's (a) requirements and goals regarding the involvement of Disadvantaged Business Enterprises ("DBE"); (b) public reporting and disclosure regarding the success or progress of those requirements and goals; (c) agency procedure for validating an entity's DBE status; and (d) communications by and between the agency, or board members or employees thereof, and public officials on behalf of DBEs. Provide copies of any such policies, rules, regulations, or requirements and identify the date of implementation.

9. Identify the agency's policies, procedures, and controls in place regarding debarment and suspension of individuals or companies seeking to do business with your agency, including (a) what steps, if any, the agency takes to determine if a vendor or contractor has been debarred or suspended; (b) what practices the agency undertakes to notify the relevant authorities of conduct by vendors or contractors that could lead to debarment or suspension; and (c) what procedures, if any, are in place to share such information with Pace, Metra, and RTA.

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We would appreciate your response via e-mail to Sarah.Kurmann@Illinois.gov by December 18 and value very much your assistance in our efforts to improve and strengthen the northeastern Illinois public transit system.

Thank you for your commitment to the northeastern Illinois transit system.

Sincerely,

Ann L. Schneider  
Co-Chair

A handwritten signature in cursive script, appearing to read "Ann L. Schneider".

George Ranney, Jr.  
Co-Chair

A handwritten signature in cursive script, appearing to read "George Ranney, Jr.". The signature is stylized with a large initial "G".